

APPENDIX A4

Self-Evaluation Tools





SELF EVALUATION TOOLS

MICHIGAN TRIAL COURT COLLECTIONS

This section provides courts several tools to assess their own collections success.

The first tool is a questionnaire designed to assist judges and court staff in evaluating the design of their court's collections programs. The questionnaire is reprinted with permission of the National Center for State Courts.

The second group of tools will help a court conduct a short term study of its success at collections. These tools can be used to evaluate the effect on collections of changes in the court's procedures (for example, changing assessing practices to create the expectation that money is due when ordered), or simply to produce a snapshot of the court's collection rate. The tools consist of a Collections Daily Worksheet, instructions, a Collections Program Evaluation Form, and an Aging Collections Rate Calculation form.



FINE AND FEE MANAGEMENT
TRIAL COURT SELF-ASSESSMENT QUESTIONNAIRE

- INSTRUCTIONS:**
- 1:** Score your court on each question. If you are uncertain, use your best estimate.
 - 2:** After completing this form, transfer your scores to the Scoring Sheet (Form 1). Identify percentages from the calculations table (Form 2) and plot the results on the Assessment Graph (Form 3).

1. The court has adopted time standards that establish expected outside limits on fine and cost payment from the date of sentencing.

1	2	3	4	5
No		Some		Yes

2. Judges regularly receive management information reports that inform them on the number, status, and age of pending collection cases.

1	2	3	4	5
No	Rarely	Sometimes	Mostly	Yes

3. When new enforcement and collection programs or procedures are being considered, the court's leadership consults with the leadership of other affected organizations (e.g. prosecutor, public defender, funding authority.)

1	2	3	4	5
No	Rarely	Sometimes	Mostly	Yes

4. The chief/administrative/presiding judge has endorsed the court's collections program and time standards.

1	2	3	4	5
No		Some		Yes

5. There is a commonly shared commitment on the part of the judges that the court has the responsibility for ensuring expeditious payment of fines and costs.

1	2	3	4	5
No		Some		Yes



NCSC

Collecting Fines and Fees

6. Courtroom clerks are knowledgeable about collection management principles and techniques, and use them in helping to manage court collections.

1	2	3	4	5
No		Some		Yes

7. The court regularly conducts training in post adjudication case management.

1	2	3	4	5
No		Sometimes		Frequently

8. The court has few or no active accounts pending for more than the maximum time established by its own fine and fee collections policies.

1	2	3	4	5
Many		Some		Few to None

9. There are published policies and procedures governing the collections and enforcement process, readily available to judges and court staff.

1	2	3	4	5
No		Some		Yes

10. The chief judge plays a leading role in initiating fine enforcement and collections management improvements in the court.

1	2	3	4	5
No		Some		Yes

11. The judges are aware of the courts collections processing time standards.

1	2	3	4	5
No		Some		Yes

12. Judges have or can readily obtain all information necessary to enable them to know the violator's current status, prior payment history, related cases involving the same defendant.

1	2	3	4	5
No		Some		Yes



NCSC

Collecting Fines and Fees

13. Consultation between judges and administrative staff about enforcement and collections policies and procedures occur.

1	2	3	4	5
No		Some		Yes

14. The chief judge regularly disseminates information on enforcement and collection status, trends, and problems.

1	2	3	4	5
No		Some		Yes

15. How difficult is it for a violator to obtain a postponement of a payment due date.

1	2	3	4	5
Easy		Moderate		Hard

16. The judge is notified of cases that have been pending for a long period of time and in which there have been repeated postponements of due dates.

1	2	3	4	5
No		Sometimes		Yes

17. The court disposes of at least as many accounts as it opens each year.

1	2	3	4	5
No		Some		Yes

18. The court staff at all levels are aware of the court's collections and enforcement timelines and goals.

1	2	3	4	5
None		Some		All

19. The court's record-keeping system (including management reports) greatly facilitates effective post adjudication case management.

1	2	3	4	5
No		Some		Yes



NCSC

Collecting Fines and Fees

20. Judges' commitment to effective enforcement and collections is demonstrated by their actions in holding violators to payment schedules, limiting postponements of due dates to situations in which good cause is shown, and limiting the duration of the postponements.

1	2	3	4	5
No		Some		Yes

21. The court has a staff unit that regularly monitors the accounts, identifies problems, and provides recommendations for effective corrective actions.

1	2	3	4	5
No		Some		Yes

22. The court has eligibility standards and time guidelines governing the enforcement process.

1	2	3	4	5
No		Some		Yes

23. New judges and employees attend an orientation program that thoroughly covers the court's enforcement and collections philosophy, policy, and expectations

1	2	3	4	5
No		Some		Yes

24. The court has established and uses a system for evaluation the effectiveness of staff members in performing their duties with respect to post adjudication case management.

1	2	3	4	5
No		Some		Yes

25. The chief judge is widely regarded by judges, staff, and the funding authority, as strongly committed to effective enforcement and collection of monetary sanctions.

1	2	3	4	5
No		Some		Yes



NCSC

Collecting Fines and Fees

26. The court's collection and enforcement goals, and its performance in relation to the goals, are subjects of regular communication with interested agencies.

1	2	3	4	5
No		Some		Yes

27. The court regularly produces reports that show trends in new accounts, closed accounts, pending accounts, and revenues.

1	2	3	4	5
No		Some		Yes

28. Judges discuss the status of the collections and enforcement issues at regularly held judges' meetings.

1	2	3	4	5
No		Some		Yes

29. Consultation with the violator occurs early in the process to set deadlines for payment and consequences of noncompliance.

1	2	3	4	5
No		Some		Yes

30. The court regularly produces management information reports to enable the judges and support staff to assess the court's progress in relation to its collections and enforcement goals.

1	2	3	4	5
No		Some		Yes

31. Mechanisms for obtaining the suggestions of court staff about enforcement and collections problems and potential improvements exist and are used by court leadership

1	2	3	4	5
No		Some		Yes



NCSC

Collecting Fines and Fees

32. Violators expect consequences for failure to make scheduled payments.

1	2	3	4	5
No		Some		Yes

33. The court has and follows established procedures to identify "bad debts" and deal with them.

1	2	3	4	5
No		Some		Yes

34. The court administrator is widely regarded by judges, staff, and others, as knowledgeable about enforcement and collections management principles and practices, the courts current situation, and effective in recommending and implementing changes.

1	2	3	4	5
No		Some		Yes

35. The time required for satisfaction of the fine imposed is generally within the time standards adopted by the court.

1	2	3	4	5
No		Some		Yes

36. Senior staff members regularly meet with judges to discuss collections status and develop plans for addressing specific problems.

1	2	3	4	5
No		Some		Yes

37. Judges with administrative or supervisory responsibility review information on the performance of judges in their division with respect to enforcement and collections management, give public recognition to those who are doing an outstanding job, and meet with those whose performance is sub-par to discuss needed improvements.

1	2	3	4	5
No		Some		Yes

38. The court has adopted goals for the frequency with which payments in full are made on the originally scheduled date.



NCSC

Collecting Fines and Fees

1	2	3	4	5
No		Some		Yes

39. Key management information reports are widely distributed to judges and staff, and include short written analyses that highlight specific problems and issues.

1	2	3	4	5
No		Some		Yes

40. The court provides information about its post adjudication case management goals and about its performance in relation to these goals to the media on a regular basis.

1	2	3	4	5
No		Some		Yes

41. Simple fines that may be amenable to swift payment are identified at an early stage for special processing.

1	2	3	4	5
No		Some		Yes

42. Court staff members attend national or in-state enforcement and collections seminars.

1	2	3	4	5
No		Some		Yes

43. The court has established goals for the maximum size of its active accounts, and has developed plans for reducing the pending accounts to that number or developed plans to ensure that the pending accounts do not exceed the goal set.

1	2	3	4	5
No		Some		Yes



NCSC

Collecting Fines and Fees

44. The chief judge and the court administrator regularly meet to review the pending account status, discuss policy and operational problems affecting collections management, and develop specific policies and plans.

1	2	3	4	5
No		Some		Yes

45. Staff members who do an effective job of managing collections cases for which they are responsible are publicly recognized for the good performance.

1	2	3	4	5
No		Some		Yes

46. Every pending account in the court's active post adjudication caseload has a "next action" date scheduled.

1	2	3	4	5
No		Some		Yes

47. Potential "problem accounts" are identified early for special attention.

1	2	3	4	5
No		Some		Yes

48. The judges recognize the need and importance of monitoring fee and fine enforcement and are committed to seeing the court meet its standards for expeditious collection.

1	2	3	4	5
No		Some		Yes



FINE & FEE MANAGEMENT REVIEW

Scoring Sheet

Form 1

Instructions: Record the score for each question in the appropriate box below.

Leadership Commitment	Goals	Information & Communication	Management Procedures
4:	1:	2:	29:
5:	11:	3:	32:
10:	18:	9:	41:
14:	22:	12:	46:
15:	26:	13:	47:
20:	35:	19:	
25:	38:	27:	
34:		28:	
48:		31:	
		39:	
		40:	
Total = _____ Out of 45 possible Divide total by 45 _____ (Score)	Total = _____ Out of 35 possible Divide total by 35 _____ (Score)	Total = _____ Out of 55 possible Divide total by 55 _____ (Score)	Total = _____ Out of 25 possible Divide total by 25 _____ (Score)
Staff Involvement	Education & Training	Mechanisms for Accountability	Backlog Inventory Control
6:	7:	24:	8:
16:	23:	37:	17:
21:	30:	44:	33:
36:	42:	45:	43:
Total = _____ Out of 20 possible Divide total by 20 _____ (Score)	Total = _____ Out of 20 possible Divide total by 20 _____ (Score)	Total = _____ Out of 20 possible Divide total by 20 _____ (Score)	Total = _____ Out of 20 possible Divide total by 20 _____ (Score)



SELF EVALUATION TOOLS

MICHIGAN TRIAL COURT COLLECTIONS

Form 2

Score	Total Possible Points				
	20	25	35	45	55
4	20%				
5	25%	20%			
6	30%	24%			
7	35%	28%	20%		
8	40%	32%	23%		
9	45%	36%	26%	20%	
10	50%	40%	29%	22%	
11	55%	44%	31%	24%	20%
12	60%	48%	34%	27%	22%
13	65%	52%	37%	29%	24%
14	70%	56%	40%	31%	25%
15	75%	60%	43%	33%	27%
16	80%	64%	46%	36%	29%
17	85%	68%	49%	38%	31%
18	90%	72%	51%	40%	33%
19	95%	76%	54%	42%	35%
20	100%	80%	57%	44%	36%
21		84%	60%	47%	38%
22		88%	63%	49%	40%
23		92%	66%	51%	42%
24		96%	69%	53%	44%
25		100%	71%	56%	45%
26			74%	58%	47%
27			77%	60%	49%
28			80%	62%	51%
29			83%	64%	53%
30			86%	67%	55%
31			89%	69%	56%
32			91%	71%	58%
33			94%	73%	60%
34			97%	76%	62%
35			100%	78%	64%
36				80%	65%
37				82%	67%
38				84%	69%
39				87%	71%
40				89%	73%
41				91%	75%
42				93%	76%
43				96%	78%
44				98%	80%
45				100%	82%
46					84%
47					85%
48					87%
49					89%
50					91%

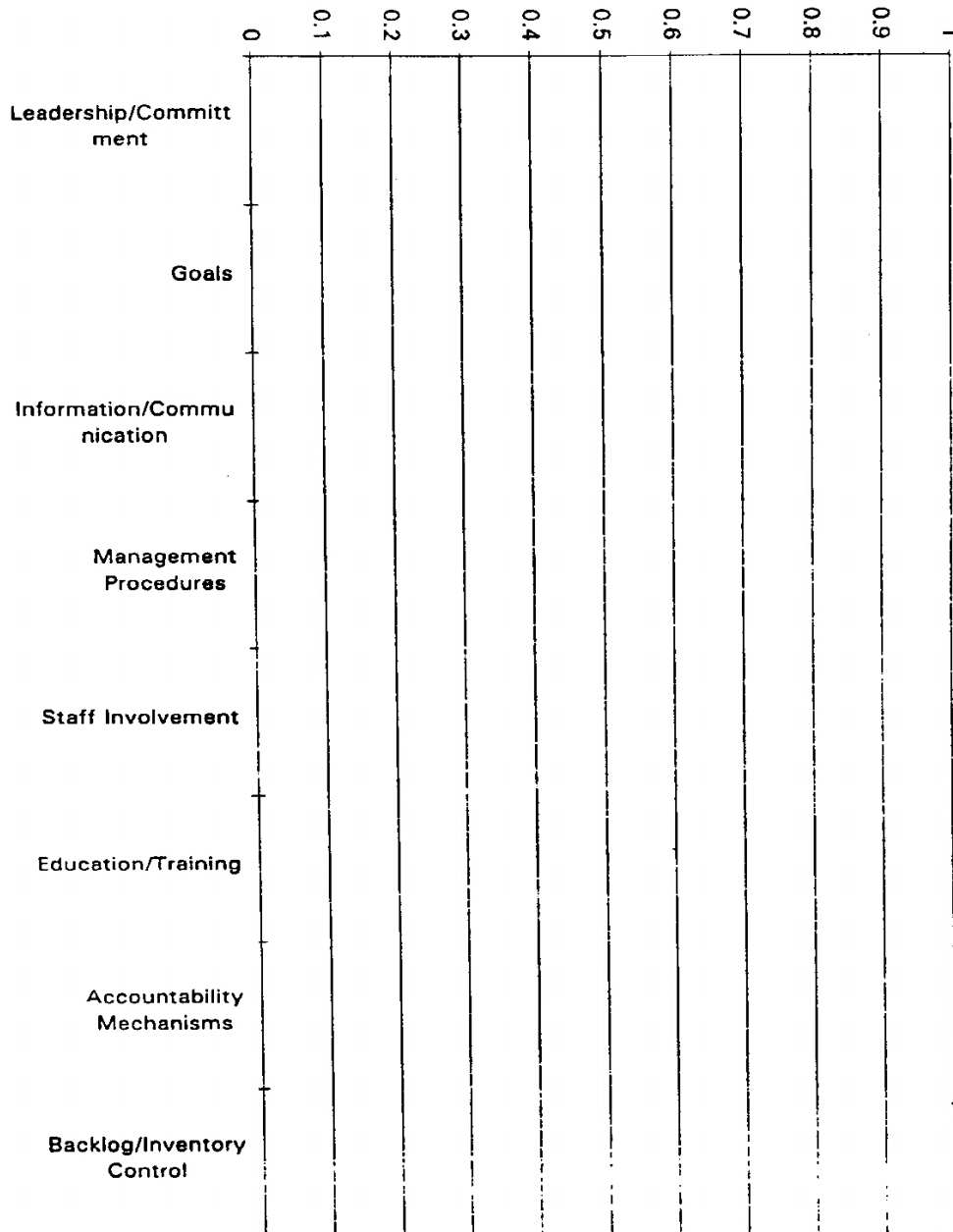


SELF EVALUATION TOOLS

MICHIGAN TRIAL COURT COLLECTIONS

Form 3

FINE & FEE MANAGEMENT REVIEW: GRAPH OF SELF-ASSESSMENT QUESTIONNAIRE RESULTS



Instructions: Using the scores recorded on the self-assessment, plot the final score for each dimension on the graph above



SELF EVALUATION TOOLS

MICHIGAN TRIAL COURT COLLECTIONS

Instructions for Completing the “Collections Daily Worksheet”

The purpose of the Collections Daily Worksheet is to track your court's collection success. You will use this worksheet to monitor non-payment, partial payments, and late payments for all criminal cases and adjudicated civil infractions in which money is ordered. This sheet will allow you to complete the Collections Program Evaluation Form. To produce meaningful results, the worksheet must be completed every day for at least three months. There are three steps to completing the worksheet:

Step 1 Every day, using a new worksheet, please complete the following:

- Enter the day's date on the top of a blank worksheet.
- During the course of that day, enter the name or case number of every criminal case and civil infraction which is adjudicated that day¹ and in which money is ordered to be paid.
- Indicate the amount ordered and the due date. If the penalty is paid immediately, use the current date as the due date, unless the judge or magistrate specifically named a different date. If multiple payments are allowed, indicate the last date by which full payment is expected.
- Check the box for “Single Pmt.” if a single, deferred payment is allowed by the judge or magistrate; check “Multiple Pmt.” if the judge or magistrate allows payments to be made in installments.
- If the amount is paid in full on the day it is assessed, check the box on the right hand side of the worksheet marked “Paid in Full, On Time”.

Step 2 Also each day, complete the following portions of the worksheet which was created on the same day during the prior month:

- Determine whether each case has had no payment, a partial payment, or if it has been paid in full. Installment arrangements whose final due dates have not been reached should be logged as partial payments.
- Indicate the amount which has been paid on the case to date.

Step 3 Finally, when a case is paid in full, pull the worksheet that was created the day penalties were assessed in the case; check the box marked “Paid in Full, On Time” if the amount ordered was paid in full on or before the due date. For cases in which multiple payments were allowed, check the box only if all installment payments were made on or before the various installment due dates.

Accuracy and completeness are critical to completing the Collections Daily Worksheet. If any questions arise, please feel free to contact Matt Hanley at (517) 373-7498.

¹ An adjudicated civil infraction is a civil infraction in which the defendant admits responsibility, a default judgment is issued, or the civil infraction is contested and a decision is rendered.



Date:

SELF EVALUATION TOOLS
MICHIGAN TRIAL COURT COLLECTIONS

[illegible]



SELF EVALUATION TOOLS
MICHIGAN TRIAL COURT COLLECTIONS

Collections Program Evaluation Form

In answering the questions below, limit your review to criminal cases and civil infractions which have been adjudicated (the defendant admits responsibility, a default judgment is issued, or the civil infraction is contested and a decision is rendered). Complete this form for the three month period for which you tracked collections using the Collections Daily Worksheet.

	Number of Cases	Amount (\$)	Percent (%)
Assessed during the three month period*			100
Single deferred payment granted			
Multiple (installment) payments granted			
Within 1 month after assessment:			
Paid in full			
Partial payment made			
No payment made			
Paid in full, on time			

* Do not include restitution or reimbursement to local governmental units for drunk driving cases.



Aging Collections Rate Calculation

1994 Assessments

	1994	1995	1996	1997	1998	1999	2000
Assessed	a1						
Waived	a2	b2	c2	d2	e2	f2	g2
Written off	a3	b3	c3	d3	e3	f3	g3
Unpaid but not past due	a4	b4	c4	d4	e4	f4	g4
Paid	a5	b5	c5	d5	e5	f5	g5
Aging Rate	$\frac{a5}{a1-(a2..a4)}$	$\frac{a5..b5}{a1-(a2..b4)}$	$\frac{a5..c5}{a1-(a2..c4)}$	$\frac{a5..d5}{a1-(a2..d4)}$	$\frac{a5..e5}{a1-(a2..e4)}$	$\frac{a5..f5}{a1-(a2..f4)}$	$\frac{a5..g5}{a1-(a2..g4)}$



SELF EVALUATION TOOLS
MICHIGAN TRIAL COURT COLLECTIONS

Aging Collections Rate Calculation

Assessments

Year

Assessed							
Waived							
Written off							
Unpaid but not past due							
Paid							
Aging Rate							